

Medicare Modernization Act

Exhibit 300: Part I: Summary Information and Justification (All Capital Assets)

I.A. Overview

1. Date of Submission:

9/11/2006

2. Agency:

Social Security Administration

3. Bureau:

Systems

4. Name of this Capital Asset:

Medicare Modernization Act

5. Unique Project (Investment) Identifier: (For IT investment only, see section 53. For all other, use agency ID system.)

016-00-01-02-01-2127-00

6. What kind of investment will this be in FY2008? (Please NOTE: Investments moving to O&M ONLY in FY2008, with Planning/Acquisition activities prior to FY2008 should not select O&M. These investments should indicate their current status.)

Mixed Life Cycle

7. What was the first budget year this investment was submitted to OMB?

FY2004

8. Provide a brief summary and justification for this investment, including a brief description of how this closes in part or in whole an identified agency performance gap:

The Medicare Modernization Act of 2003 (MMA) creates a voluntary program for prescription drug coverage under the Medicare Program. According to the legislation, all individuals with Medicare will be eligible to enroll in plans to cover prescription drug costs. Those individuals who enroll and have incomes below an established threshold may be entitled to a Prescription Drug Benefit subsidy to help pay for annual deductibles, premiums and co-payments. SSA is responsible for: producing an outreach notice and sending it to the target audience; interfacing with other federal agencies for data exchange; determining eligibility for the subsidy; and withholding the premium from SSA payments when prescription drug coverage has been elected. Effective January 2007, Section 1839 of the Social Security Act creates an income-related reduction in Part B premium subsidies. Currently, the premium paid by a Part B beneficiary covers approximately 25% of the per-capita cost of Part B; the balance is subsidized by the Federal government. SSA's investment in the Prescription Drug Benefit and Part B Income Related Monthly Adjustment Amount system will require the development of an infrastructure to support the new business processes and processes impacted by the legislation. New electronic processes will be developed to support provisions of the law, data exchange interfaces with federal agencies will be developed or expanded to obtain applicant income and resource information, and existing applications will be modified to collect and process the new data. SSA's accounting systems will also require modification and a new trust fund will have to be established. Existing hardware capacity will be upgraded to handle the increased workload and ensure that current service levels are not degraded. The new investment will also include an electronic records management capability to manage Medicare related records.

9. Did the Agency's Executive/Investment Committee approve this request?

Yes

a. If "yes," what was the date of this approval?

7/13/2006

10. Did the Project Manager review this Exhibit?

Yes

11. Removed.

12. Has the agency developed and/or promoted cost effective, energy efficient and environmentally sustainable techniques or practices for this project.

Yes

a. Will this investment include electronic assets (including computers)?

Yes

b. Is this investment for new construction or major retrofit of a Federal building or facility? (answer applicable to non-IT assets only)

No

1. If "yes," is an ESPC or UESC being used to help fund this investment?

2. If "yes," will this investment meet sustainable design principles?

3. If "yes," is it designed to be 30% more energy efficient than relevant code?

13. Does this investment support one of the PMA initiatives?

Yes

If "yes," check all that apply:

Competitive Sourcing, Expanded E-Government, Human Capital, Financial Performance, Budget Performance Integration

13a. Briefly describe how this asset directly supports the identified initiative(s)?

Budget/Performance Integration will continue to improve thru SSA's cost accounting system which will allow MMA Support System (MMA/SS) to manage workloads/programs/resources. MMA plans to continue Competitive Sourcing to take advantage of cost savings. SSA is continuing the expansion of E-Gov thru data exchanges with various other Government agencies. SSA is committed to Improve Financial Performance continuing to monitor/manage financial metrics. Human Capital will improve thru SSA modernization

14. Does this investment support a program assessed using the Program Assessment Rating Tool (PART)? (For more information about the PART, visit www.whitehouse.gov/omb/part.)

Yes

a. If "yes," does this investment address a weakness found during the PART review?

Yes

b. If "yes," what is the name of the PART program assessed by OMB's Program Assessment Rating Tool?

Medicare

c. If "yes," what PART rating did it receive?

Moderately Effective

15. Is this investment for information technology?

Yes

If the answer to Question: "Is this investment for information technology?" was "Yes," complete this sub-section. If the answer is "No," do not answer this sub-section.

For information technology investments only:

16. What is the level of the IT Project? (per CIO Council PM Guidance)

Level 2

17. What project management qualifications does the Project Manager have? (per CIO Council PM Guidance):

(1) Project manager has been validated as qualified for this investment

18. Is this investment identified as "high risk" on the Q4 - FY 2006 agency high risk report (per OMB's "high risk" memo)?

Yes

19. Is this a financial management system?

No

a. If "yes," does this investment address a FFMI A compliance area?

1. If "yes," which compliance area:

2. If "no," what does it address?

b. If "yes," please identify the system name(s) and system acronym(s) as reported in the most recent financial systems inventory update required by Circular A-11 section 52

20. What is the percentage breakout for the total FY2008 funding request for the following? (This should total 100%)

Hardware

0.904

Software

0.405

Services

7.320

Other

91.371

21. If this project produces information dissemination products for the public, are these products published to the Internet in conformance with OMB Memorandum 05-04 and included in your agency inventory, schedules and priorities?

N/A

22. Removed.

23. Are the records produced by this investment appropriately scheduled with the National Archives and Records Administration's approval?

Yes

I.B. Summary of Funding

Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions, and are rounded to three decimal places. Federal personnel costs should be included only in the row designated "Government FTE Cost," and should be excluded from the amounts shown for "Planning," "Full Acquisition," and "Operation/Maintenance." The total estimated annual cost of the investment is the sum of costs for "Planning," "Full Acquisition," and "Operation/Maintenance." For Federal buildings and facilities, life-cycle costs should include long term energy, environmental, decommissioning, and/or restoration costs. The costs associated with the entire life-cycle of the investment should be included in this report.

**Table 1: SUMMARY OF SPENDING FOR PROJECT PHASES
(REPORTED IN MILLIONS)**

(Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)

	PY - 1 and Earlier	PY 2006	CY 2007	BY 2008
Planning Budgetary Resources	6.069	0	0	0
Acquisition Budgetary Resources	50.72	31.025	1.748	0.339
Subtotal Planning & Acquisition Budgetary Resources	56.789	31.025	1.748	0.339
Operations & Maintenance Budgetary Resources	19.807	3.447	0.749	3.051
TOTAL Budgetary Resources	76.596	34.472	2.497	3.39
Government FTE Costs Budgetary Resources	45.279	31.426	22.562	15.153
Number of FTE represented by Costs:	419	306	207	130

Note: For the cross-agency investments, this table should include all funding (both managing partner and partner agencies). Government FTE Costs should not be included as part of the TOTAL represented.

2. Will this project require the agency to hire additional FTE's?

No

a. If "yes," How many and in what year?

3. If the summary of spending has changed from the FY2007 President's budget request, briefly explain those changes:

In passback during last year's BY07 budget development process the Agency was instructed to reduce its ITS Service Delivery Budget by \$63 million. The effect of this reduction is reflected in the CY07 amounts in the Summary of Spending Section being submitted as part of the BY08 budget proposal. In addition, delays in certain major investments necessitated the reallocation of funds during the course of FY06. This realignment led to the forward-funding of certain activities that initially had been proposed for and approved for FY07. The effect of this realignment on these projects can be seen in lower levels of funding for CY07 (in the BY08 exhibit 300) than were proposed in the BY07 exhibit 300 (since they were forward-funded in FY06). The delayed projects (primarily ITOA and TSRP) show a higher-than-originally-proposed level of funding for CY07 (in the BY08 exhibit 300), since they provided funds for the forward-funded projects in FY06 while receiving the same amount of funds in FY07.

I.C. Acquisition/Contract Strategy

1. Complete the table for all (including all non-Federal) contracts and/or task orders currently in place or planned for this investment. Total Value should include all option years for each contract. Contracts and/or task orders completed do not need to be included.

Contracts/Task Orders Table:

Contract or Task Order Number	Type of Contract/ Task Order	Has the contract been awarded?	If so what is the date of the award? If not, what is the planned award date?	Start date of Contract/ Task Order	End date of Contract/ Task Order	Total Value of Contract/ Task Order	Is this an Interagency Acquisition?	Is it performance based?	Competitively awarded?	What, if any, alternative financing option is being used?	Is EVM in the contract?	Does the contract include the required security and privacy clauses?
SS00-05-60011	Time & Materials	Yes	11/15/2004	11/15/2004	9/29/2011	525.124	No	Yes	Yes	NA	No	Yes

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:

SSA's earned value management (EVM) policy has been certified as consistent with OMB guidance and the ANSI standards defining a compliant EVM. The inclusion of earned value in SSA contracts is based on the type of contract let, the services performed, and the date when the contract was let. Earned value management requirements are applied to SSA contractors in two ways. The first is to require the contractor to satisfy requirements utilizing their own earned value management system (EVMS). The second is for the contractor to provide necessary data directly into SSA's in-house EVMS.

3. Do the contracts ensure Section 508 compliance?

Yes

a. Explain why:

4. Is there an acquisition plan which has been approved in accordance with agency requirements?

Yes

a. If "yes," what is the date?

8/15/2006

b. If "no," will an acquisition plan be developed?

1. If "no," briefly explain why:

I.D. Performance Information

In order to successfully address this area of the exhibit 300, performance goals must be provided for the agency and be linked to the annual performance plan. The investment must discuss the agency's mission and strategic goals, and performance measures must be provided. These goals need to map to the gap in the agency's strategic goals and objectives this investment is designed to fill. They are the internal and external performance benefits this investment is expected to deliver to the agency (e.g., improve efficiency by 60 percent, increase citizen participation by 300 percent a year to achieve an overall citizen participation rate of 75 percent by FY 2xxx, etc.). The goals must be clearly measurable investment outcomes, and if applicable, investment outputs. They do not include the completion date of the module, milestones, or investment, or general goals, such as, significant, better, improved that do not have a quantitative or qualitative measure.

Agencies must use Table 1 below for reporting performance goals and measures for all non-IT investments and for existing IT investments that were initiated prior to FY 2005. The table can be extended to include measures for years beyond FY 2006.

Performance Information Table 1:

Fiscal Year	Strategic Goal(s) Supported	Performance Measure	Actual/baseline (from Previous Year)	Planned Performance Metric (Target)	Performance Metric Results (Actual)
2005	Since this is an update to the initiative first submitted in FY2004 Table 1 is not applicable.				

All new IT investments initiated for FY 2005 and beyond must use Table 2 and are required to use the Federal Enterprise Architecture (FEA) Performance Reference Model (PRM). Please use Table 2 and the PRM to identify the performance information pertaining to this major IT investment. Map all Measurement Indicators to the corresponding "Measurement Area" and "Measurement Grouping" identified in the PRM. There should be at least one Measurement Indicator for at least four different Measurement Areas (for each fiscal year). The PRM is available at www.egov.gov.

Performance Information Table 2:

Fiscal Year	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Planned Improvement to the Baseline	Actual Results
2005	Customer Results	Service Accessibility	Access	Access: number of Subsidy applicants that apply via the three service channels: paper, Internet and Intranet.	N/A - New Initiative		Internet: 720,873 Intranet: 616,665 Paper: 4,660,779 Total 5,998,317 (All counts through 12/31/2006)
2005	Mission and Business Results	Income Security	General Retirement and Disability	General Retirement and Disability: Number of Part D applicants approved for subsidy.	N/A - New Initiative		2,301,441 through 12/31/2006
2005	Processes and Activities	Productivity and Efficiency	Productivity	Productivity: Speed/volume of scanning paper subsidy applications and resolving exceptions.	N/A - New Initiative		3.9 million through 12/31/06
2005	Technology	Information and Data	External Data Sharing	External Data Sharing: Establish new/revised data exchanges with the specified Federal entities to support the provisions of Medicare Modernization Act	Create Data Exchanges with 5 federal agencies - CMS/RRB/Treasury/IRS/VA		Established Data Exchanges with 5 federal agencies - CMS/RRB/Treasury/IRS/VA
2006	Customer Results	Service Coverage	New Customers and Market Penetration	New Customers: Number of customers who respond to the Passive Redet	N/A - New Initiative		Available 03/07

Fiscal Year	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Planned Improvement to the Baseline	Actual Results
				mailing.			
2006	Customer Results	Service Quality	Accuracy of Service or Product Delivered	Customer Satisfaction - Number of customers satisfied with the internet Part D subsidy application	83% Processing Goal		Overall satisfaction came in at 86% (through 12/31/2006).
2006	Mission and Business Results	Income Security	General Retirement and Disability	General Retirement and Disability: Speed of subsidy redetermination decision (number of days to process a subsidy redetermination)	N/A - New Initiative		Available 08/07
2006	Processes and Activities	Cycle Time and Resource Time	Timeliness	Timeliness: Speed of processing Subsidy Changing events.	Processing Goal 50% of cases within 60 days		80.65% of cases within 60 days (through 12/31/2006).
2006	Technology	Effectiveness	User Requirements	User Requirements: Percent of critical user requirements met	N/A - New Initiative		All user requirements that were legislatively mandated were completed timely.
2006	Technology	Efficiency	Accessibility	Reliability and availability: percent that critical systems are available.	99.0% Goal		99.7% (Through 12/31/2006).
2007	Customer Results	Service Quality	Accuracy of Service or Product Delivered	Customer Satisfaction - Number of customers satisfied with the internet Part D subsidy application	83%		Available Dec. 2007
2007	Customer Results	Timeliness and Responsiveness	Response Time	Timeliness: Speed of processing Part B Life Changing Events that affect the income related adjustment amount.	N/A - New Initiative		Available 01/08
2007	Mission and Business Results	Income Security	General Retirement and Disability	General Retirement and Disability: Number of Part B Income related adjustments (IRMAA)	N/A - New Initiative		Available 01/08

Fiscal Year	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Planned Improvement to the Baseline	Actual Results
				processed.			
2007	Processes and Activities	Cycle Time and Resource Time	Timeliness	Timeliness: Speed of processing Part B Income related adjustments.	N/A - New Initiative		Available 01/08
2007	Technology	Efficiency	Accessibility	Reliability and availability: percent that critical systems are available.	99.0% Goal		Available 10/07
2007	Technology	Information and Data	External Data Sharing	External Data Sharing: Create IRS income data exchange to support Part B income related adjustments.	N/A - New Initiative		Started this new process in Oct, 2006. Continue to receive weekly updates
2008	Customer Results	Timeliness and Responsiveness	Response Time	Timeliness: speed of processing customer reported changes to income that affect IRMAA.	N/A - New Initiative		Available 01/09
2008	Mission and Business Results	Income Security	General Retirement and Disability	General Retirement and Disability: Number of Part B IRMAA enforcements processed.	N/A - New Initiative		Available 01/09
2008	Processes and Activities	Cycle Time and Resource Time	Timeliness	Timeliness: Speed of processing Part B income related adjustment enforcements.	N/A - New Initiative		Available 01/09
2008	Technology	Efficiency	Accessibility	Reliability and availability: percent that critical systems are available.	99.0% Goal		Available 10/08

I.E. Security and Privacy

In order to successfully address this area of the business case, each question below must be answered at the system/application level, not at a program or agency level. Systems supporting this investment on the planning and operational systems security tables should match the systems on the privacy table below. Systems on the Operational Security Table must be included on your agency FISMA system inventory and should be easily referenced in the inventory (i.e., should use the same name or identifier).

All systems supporting and/or part of this investment should be included in the tables below, inclusive of both agency owned systems and contractor systems. For IT investments under development, security and privacy planning must proceed in parallel with the development of the system/s to ensure IT security and privacy

requirements and costs are identified and incorporated into the overall lifecycle of the system/s.

Please respond to the questions below and verify the system owner took the following actions:

1. Have the IT security costs for the system(s) been identified and integrated into the overall costs of the investment:

Yes

2. Is identifying and assessing security and privacy risks a part of the overall risk management effort for each system supporting or part of this investment.

Yes

3. Systems in Planning - Security Table:

Name of System	Agency/ or Contractor Operated System?	Planned Operational Date	Planned or Actual C&A Completion Date
Title II System	Government Only	3/30/2007	11/18/2005

4. Operational Systems - Security Table:

Name of System	Agency/ or Contractor Operated System?	NIST FIPS 199 Risk Impact level	Has C&A been Completed, using NIST 800-37?	Date C&A Complete	What standards were used for the Security Controls tests?	Date Complete(d): Security Control Testing	Date the contingency plan tested
Title II System	Government Only	Moderate	Yes	11/18/2005	FIPS 200 / NIST 800-53	11/10/2005	1/13/2006

5. Have any weaknesses related to any of the systems part of or supporting this investment been identified by the agency or IG?

No

a. If "yes," have those weaknesses been incorporated agency's plan of action and milestone process?

6. Indicate whether an increase in IT security funding is requested to remediate IT security weaknesses?

No

a. If "yes," specify the amount, provide a general description of the weakness, and explain how the funding request will remediate the weakness.

7. How are contractor security procedures monitored, verified, validated by the agency for the contractor systems above?

THIS IS NOT A CONTRACTOR SYSTEM

8. Planning & Operational Systems - Privacy Table:

Name of System	Is this a new system?	Is there a Privacy Impact Assessment (PIA) that covers this system?	Is the PIA available to the public?	Is a System of Records Notice (SORN) required for this system?	Was a new or amended SORN published in FY 06?
Title II System	No	Yes.	Yes.	Yes	Yes, because the existing Privacy Act system of records was substantially revised in FY 06.

I.F. Enterprise Architecture (EA)

In order to successfully address this area of the business case and capital asset plan you must ensure the investment is included in the agency's EA and Capital Planning and Investment Control (CPIC) process, and is mapped to and supports the FEA. You

must also ensure the business case demonstrates the relationship between the investment and the business, performance, data, services, application, and technology layers of the agency's EA.

1. Is this investment included in your agency's target enterprise architecture?

Yes

a. If "no," please explain why?

2. Is this investment included in the agency's EA Transition Strategy?

Yes

a. If "yes," provide the investment name as identified in the Transition Strategy provided in the agency's most recent annual EA Assessment.

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b. If "no," please explain why?

3. Service Reference Model (SRM) Table:

Identify the service components funded by this major IT investment (e.g., knowledge management, content management, customer relationship management, etc.). Provide this information in the format of the following table. For detailed guidance regarding components, please refer to <http://www.whitehouse.gov/omb/egov/>.

Agency Component Name	Agency Component Description	Service Domain	FEA SRM Service Type	FEA SRM Component	FEA Service Component Reused Name	FEA Service Component Reused UPI	Internal or External Reuse?	BY Funding Percentage
Connect: Direct	Connect: Direct automates the secure movement of large volumes of data between distributed applications within and between enterprises.	Back Office Services	Data Management	Data Exchange	Data Exchange	016-00-01-04-02-2132-00	Internal	0
RAID	Redundant Array of Independent Disks (RAID) is a category of disk drives that employ two or more drives in combination for fault tolerance and performance.	Back Office Services	Data Management	Data Recovery	Data Recovery	016-00-01-04-02-2132-00	Internal	0
DMA	The Document Management Architecture (DMA) is the part of the Electronic Folder (EF) that provides the capability to hold images, documents, and forms that previously have been housed in	Back Office Services	Data Management	Loading and Archiving	Loading and Archiving	016-00-02-00-01-2210-00	Internal	0

Agency Component Name	Agency Component Description	Service Domain	FEA SRM Service Type	FEA SRM Component	FEA Service Component Reused Name	FEA Service Component Reused UPI	Internal or External Reuse?	BY Funding Percentage
	paper folders.							
ORS	The Online Retrieval System (ORS) provides the ability to view any notice that has been sent to a customer. ORS also stores the notices in an exact image of the original, thus allowing SSA to adhere to Federal regulations on retention of documents, and move closer to an efficient, paperless environment.	Back Office Services	Data Management	Loading and Archiving	Loading and Archiving	016-00-01-04-02-2132-00	Internal	0
DRMS	Data Resource Management System - It is a tool for designers, analysts, and programmers to use during the various phases of the Software Life Cycle. The DRMS is used to maintain data integrity. It supports programmers working with both CICS and Data Base Architecture applications.	Back Office Services	Data Management	Meta Data Management	Meta Data Management	016-00-01-04-02-2132-00	Internal	0
AIF, ICDB	The AIF (Application Interface Facility) is a common interface between SSA's application programs and various Database Management Systems such as IDMS and MADAM. Integrated Client Database (ICDB)	Back Office Services	Development and Integration	Data Integration	Data Integration	016-00-01-04-02-2132-00	Internal	0

Agency Component Name	Agency Component Description	Service Domain	FEA SRM Service Type	FEA SRM Component	FEA Service Component Reused Name	FEA Service Component Reused UPI	Internal or External Reuse?	BY Funding Percentage
	is a data access utility containing common data elements from participating systems.							
AIF, JWICS	The AIF (Application Interface Facility) is a common interface between SSA's application programs and various Database Management Systems such as IDMS and MADAM. Java Websphere Initiated CICS Servers (JWICS) is a set of Java Classes and resources files which allow remote procedure call communication between a Java Websphere Application Server Client and a CICS Cobol Server program.	Back Office Services	Development and Integration	Legacy Integration	Legacy Integration	016-00-01-04-02-2132-00	Internal	0
DMA	The Document Management Architecture (DMA) is the part of the Electronic Folder (EF) that provides the capability to hold images, documents, and forms that previously have been housed in paper folders.	Business Analytical Services	Visualization	Imagery	Imagery	016-00-02-00-01-2210-00	Internal	0
PolicyNet	PolicyNet is an Intranet application that provides collaborative authoring of policy, creation and	Business Management Services	Management of Processes	Business Rule Management	Business Rule Management	016-00-01-02-02-2130-00	Internal	0

Agency Component Name	Agency Component Description	Service Domain	FEA SRM Service Type	FEA SRM Component	FEA Service Component Reused Name	FEA Service Component Reused UPI	Internal or External Reuse?	BY Funding Percentage
	maintenance of a Policy Repository, posting of questions and answers, improved policy dissemination, identification of "hotspots" or the need for policy clarification, and a single, improved, natural language search engine.							
PolicyNet	PolicyNet is an Intranet application that provides collaborative authoring of policy, creation and maintenance of a Policy Repository, posting of questions and answers, improved policy dissemination, identification of "hotspots" or the need for policy clarification, and a single, improved, natural language search engine.	Business Management Services	Management of Processes	Change Management	Change Management	016-00-01-02-02-2130-00	Internal	0
MKS, Endeavor	Mortice Kern Systems (MKS) Source Integrity Enterprise (SIE) is a comprehensive, project-oriented, software configuration management (SCM) tool that provides version control over changes to application software. Endeavor is an integrated set of management tools that is used to control and	Business Management Services	Management of Processes	Change Management	Change Management	016-00-01-04-02-2132-00	Internal	0

Agency Component Name	Agency Component Description	Service Domain	FEA SRM Service Type	FEA SRM Component	FEA Service Component Reused Name	FEA Service Component Reused UPI	Internal or External Reuse?	BY Funding Percentage
	monitor application development and production implementation processes.							
PolicyNet	PolicyNet is an Intranet application that provides collaborative authoring of policy, creation and maintenance of a Policy Repository, posting of questions and answers, improved policy dissemination, identification of "hotspots" or the need for policy clarification, and a single, improved, natural language search engine.	Business Management Services	Management of Processes	Governance / Policy Management	Governance / Policy Management	016-00-01-02-02-2130-00	Internal	0
ISBA	Internet Social Security Benefit Application (ISBA) is an electronic application used to apply for Social Security retirement, disability or spouse's benefits, or any combination of those benefits over the Internet.	Customer Services	Customer Preferences	Alerts and Notifications	Alerts and Notifications	016-00-01-02-02-2130-00	Internal	0
DMA	The Document Management Architecture (DMA) is the part of the Electronic Folder (EF) that provides the capability to hold images, documents, and forms that previously have been housed in paper folders.	Digital Asset Services	Content Management	Tagging and Aggregation	Tagging and Aggregation	016-00-02-00-01-2210-00	Internal	0

Agency Component Name	Agency Component Description	Service Domain	FEA SRM Service Type	FEA SRM Component	FEA Service Component Reused Name	FEA Service Component Reused UPI	Internal or External Reuse?	BY Funding Percentage
DMA	The Document Management Architecture (DMA) is the part of the Electronic Folder (EF) that provides the capability to hold images, documents, and forms that previously have been housed in paper folders.	Digital Asset Services	Document Management	Classification	Classification	016-00-02-00-01-2210-00	Internal	0
FECS	The Front-End Capture System (FECS) is the software used to provide the front-end capture capabilities needed to process unstructured data.	Digital Asset Services	Document Management	Document Imaging and OCR	Document Imaging and OCR	016-00-02-00-01-2210-00	Internal	0
DMA	The Document Management Architecture (DMA) is the part of the Electronic Folder (EF) that provides the capability to hold images, documents, and forms that previously have been housed in paper folders.	Digital Asset Services	Document Management	Document Revisions	Document Revisions	016-00-02-00-01-2210-00	Internal	0
DMA	The Document Management Architecture (DMA) is the part of the Electronic Folder (EF) that provides the capability to hold images, documents, and forms that previously have been housed in paper folders.	Digital Asset Services	Document Management	Indexing	Indexing	016-00-02-00-01-2210-00	Internal	0
ORS	The Online Retrieval System (ORS) provides the ability to	Digital Asset Services	Document Management	Indexing	Indexing	016-00-01-04-02-2132-00	Internal	0

Agency Component Name	Agency Component Description	Service Domain	FEA SRM Service Type	FEA SRM Component	FEA Service Component Reused Name	FEA Service Component Reused UPI	Internal or External Reuse?	BY Funding Percentage
	view any notice that has been sent to a customer. ORS also stores the notices in an exact image of the original, thus allowing SSA to adhere to Federal regulations on retention of documents, and move closer to an efficient, paperless environment.							
DMA	The Document Management Architecture (DMA) is the part of the Electronic Folder (EF) that provides the capability to hold images, documents, and forms that previously have been housed in paper folders.	Digital Asset Services	Document Management	Library / Storage	Library / Storage	016-00-02-00-01-2210-00	Internal	0
ORS	The Online Retrieval System (ORS) provides the ability to view any notice that has been sent to a customer. ORS also stores the notices in an exact image of the original, thus allowing SSA to adhere to Federal regulations on retention of documents, and move closer to an efficient, paperless environment.	Digital Asset Services	Document Management	Library / Storage	Library / Storage	016-00-01-04-02-2132-00	Internal	0
DRMS	Data Resource Management System - It is a tool for designers, analysts, and	Digital Asset Services	Knowledge Management	Categorization	Categorization	016-00-01-04-02-2132-00	Internal	0

Agency Component Name	Agency Component Description	Service Domain	FEA SRM Service Type	FEA SRM Component	FEA Service Component Reused Name	FEA Service Component Reused UPI	Internal or External Reuse?	BY Funding Percentage
	programmers to use during the various phases of the Software Life Cycle. The DRMS is used to maintain data integrity. It supports programmers working with both CICS and Data Base Architecture applications.							
MMA Data Retrieval	MMA Data Retrieval is a tool to provide common access to the Medicare Database.	Digital Asset Services	Knowledge Management	Information Retrieval	Information Retrieval	016-00-01-02-02-2130-00	Internal	0
MADAM	The Master File Data Access Method (MADAM) is an in-house access method designed to access SSA's major master records.	Digital Asset Services	Knowledge Management	Information Retrieval	Information Retrieval	016-00-01-04-02-2132-00	Internal	0
WSAD, CICS Enqueue/Dequeue	WebSphere Studio Application Developer (WSAD) is used for developing, testing, and debugging EJBs, Java Beans, JSPs, and servlets within the WebSphere Test Environment (WTE). CICS Enqueue is a programming mechanism that allows a program to have exclusive control over a resource until a dequeue is issued. Enqueues enable programs to single thread the access of a resource, such as a master	Digital Asset Services	Knowledge Management	Information Sharing	Information Sharing	016-00-01-04-02-2132-00	Internal	0

Agency Component Name	Agency Component Description	Service Domain	FEA SRM Service Type	FEA SRM Component	FEA Service Component Reused Name	FEA Service Component Reused UPI	Internal or External Reuse?	BY Funding Percentage
	record on a file.							
FECS	The Front-End Capture System (FECS) is the software used to provide the front-end capture capabilities needed to process unstructured data.	Digital Asset Services	Knowledge Management	Knowledge Capture	Knowledge Capture	016-00-02-00-01-2210-00	Internal	0
DMA	The Document Management Architecture (DMA) is the part of the Electronic Folder (EF) that provides the capability to hold images, documents, and forms that previously have been housed in paper folders.	Digital Asset Services	Records Management	Document Classification	Document Classification	016-00-02-00-01-2210-00	Internal	0
CFRMS	The Claim File Records Management System (CFRMS) provides a consolidated view of the electronic claims file for the purpose of records and content management.	Digital Asset Services	Records Management	Document Retirement	Document Retirement	016-00-01-02-02-2130-00	Internal	0
DMA	The Document Management Architecture (DMA) is the part of the Electronic Folder (EF) that provides the capability to hold images, documents, and forms that previously have been housed in paper folders.	Support Services	Collaboration	Document Library	Document Library	016-00-02-00-01-2210-00	Internal	0
ORS	The Online Retrieval System (ORS) provides the ability to view any notice	Support Services	Collaboration	Document Library	Document Library	016-00-01-04-02-2132-00	Internal	0

Agency Component Name	Agency Component Description	Service Domain	FEA SRM Service Type	FEA SRM Component	FEA Service Component Reused Name	FEA Service Component Reused UPI	Internal or External Reuse?	BY Funding Percentage
	that has been sent to a customer. ORS also stores the notices in an exact image of the original, thus allowing SSA to adhere to Federal regulations on retention of documents, and move closer to an efficient, paperless environment.							
S/MIME, eTrust, Top Secret, iESI	S/MIME is a public key encryption protocol for securely sending Multi-purpose Internet Mail Extension (MIME) attachments. eTrust SSO provides internal SSA end users a login option (leveraging Microsoft Active Directory login) that allows them to more effectively manage UserIDs and passwords for multiple applications (Internet, Intranet and/or CISC). TOP SECRET is the security software running on all of SSA's mainframe systems. iESI is Internet/Intranet Enterprise Security Interface.	Support Services	Security Management	Access Control	Access Control	016-00-02-00-01-2210-00	Internal	0
ATS	The purpose of the Audit Trail System (ATS) is to provide an effective tool to deter, detect, investigate and prosecute	Support Services	Security Management	Audit Trail Capture and Analysis	Audit Trail Capture and Analysis	016-00-01-02-02-2130-00	Internal	0

Agency Component Name	Agency Component Description	Service Domain	FEA SRM Service Type	FEA SRM Component	FEA Service Component Reused Name	FEA Service Component Reused UPI	Internal or External Reuse?	BY Funding Percentage
	instances of fraud and abuse.							
Top Secret	TOP SECRET is the security software running on all of SSA's mainframe systems.	Support Services	Security Management	Identification and Authentication	Identification and Authentication	016-00-02-00-01-2210-00	Internal	0

Use existing SRM Components or identify as "NEW". A "NEW" component is one not already identified as a service component in the FEA SRM. A reused component is one being funded by another investment, but being used by this investment. Rather than answer yes or no, identify the reused service component funded by the other investment and identify the other investment using the Unique Project Identifier (UPI) code from the OMB Ex 300 or Ex 53 submission. 'Internal' reuse is within an agency. For example, one agency within a department is reusing a service component provided by another agency within the same department. 'External' reuse is one agency within a department reusing a service component provided by another agency in another department. A good example of this is an E-Gov initiative service being reused by multiple organizations across the federal government. Please provide the percentage of the BY requested funding amount used for each service component listed in the table. If external, provide the funding level transferred to another agency to pay for the service.

4. Technical Reference Model (TRM) Table:

To demonstrate how this major IT investment aligns with the FEA Technical Reference Model (TRM), please list the Service Areas, Categories, Standards, and Service Specifications supporting this IT investment.

FEA SRM Component	FEA TRM Service Area	FEA TRM Service Category	FEA TRM Service Standard	Service Specification (i.e. vendor or product name)
Data Integration	Component Framework	Business Logic	Platform Dependent	ALC
Legacy Integration	Component Framework	Business Logic	Platform Dependent	ALC
Data Integration	Component Framework	Business Logic	Platform Dependent	COBOL 3
Legacy Integration	Component Framework	Business Logic	Platform Dependent	COBOL 3
Audit Trail Capture and Analysis	Component Framework	Business Logic	Platform Dependent	COBOL 3
Indexing	Component Framework	Business Logic	Platform Dependent	COBOL 3
Alerts and Notifications	Component Framework	Business Logic	Platform Independent	Java Servlet (JSR 53)
Legacy Integration	Component Framework	Business Logic	Platform Independent	Java Servlet (JSR 53)
Access Control	Component Framework	Business Logic	Platform Independent	Java Servlet (JSR 53)
Data Exchange	Component Framework	Data Interchange	Data Exchange	Resource Description Framework (RDF)
Document Retirement	Component Framework	Data Interchange	Data Exchange	Simple Object Access Protocol (SOAP)

FEA SRM Component	FEA TRM Service Area	FEA TRM Service Category	FEA TRM Service Standard	Service Specification (i.e. vendor or product name)
Information Retrieval	Component Framework	Data Management	Database Connectivity	BDAM
Document Retirement	Component Framework	Data Management	Database Connectivity	DB2 Connector
Document Classification	Component Framework	Data Management	Database Connectivity	DB2 Connector
Classification	Component Framework	Data Management	Database Connectivity	DB2 Connector
Meta Data Management	Component Framework	Data Management	Database Connectivity	DB2 Connector
Categorization	Component Framework	Data Management	Database Connectivity	DB2 Connector
Loading and Archiving	Component Framework	Data Management	Database Connectivity	DB2 Connector
Indexing	Component Framework	Data Management	Database Connectivity	DB2 Connector
Library / Storage	Component Framework	Data Management	Database Connectivity	DB2 Connector
Document Classification	Component Framework	Data Management	Database Connectivity	Java Database Connectivity (JDBC)
Classification	Component Framework	Data Management	Database Connectivity	Java Database Connectivity (JDBC)
Imagery	Component Framework	Data Management	Database Connectivity	Java Database Connectivity (JDBC)
Tagging and Aggregation	Component Framework	Data Management	Database Connectivity	Java Database Connectivity (JDBC)
Document Revisions	Component Framework	Data Management	Database Connectivity	Java Database Connectivity (JDBC)
Document Imaging and OCR	Component Framework	Security	Supporting Security Services	Secure Multipurpose Internet Mail Extensions (S/MIME)
Alerts and Notifications	Component Framework	Security	Supporting Security Services	Tivoli Access Manager (TAM)
Information Retrieval	Component Framework	Security	Supporting Security Services	TopSecret
Meta Data Management	Component Framework	Security	Supporting Security Services	TopSecret
Categorization	Component Framework	Security	Supporting Security Services	TopSecret
Access Control	Component Framework	Security	Supporting Security Services	TopSecret
Identification and Authentication	Component Framework	Security	Supporting Security Services	TopSecret
Document Imaging and OCR	Component Framework	Security	Supporting Security Services	Transport Layer Security (TLS)
Legacy Integration	Component Framework	Security	Supporting Security Services	Transport Layer Security (TLS)
Alerts and Notifications	Component Framework	Security	Supporting Security Services	Web Services Security (WS-Security)
Document Imaging and OCR	Service Access and Delivery	Access Channels	Collaboration / Communications	Electronic Mail (E-mail)
Document Imaging and OCR	Service Access and Delivery	Access Channels	Collaboration / Communications	Facsimile (Fax)
Loading and Archiving	Service Access and Delivery	Access Channels	Other Electronic Channels	Internet Explorer
Information Retrieval	Service Access and Delivery	Access Channels	Other Electronic Channels	System to System
Data Integration	Service Access and Delivery	Access Channels	Other Electronic Channels	System to System
Legacy Integration	Service Access and Delivery	Access Channels	Other Electronic Channels	System to System

FEA SRM Component	FEA TRM Service Area	FEA TRM Service Category	FEA TRM Service Standard	Service Specification (i.e. vendor or product name)
Access Control	Service Access and Delivery	Access Channels	Other Electronic Channels	System to System
Knowledge Capture	Service Access and Delivery	Access Channels	Other Electronic Channels	Web Service
Imagery	Service Access and Delivery	Access Channels	Other Electronic Channels	Web Service
Governance / Policy Management	Service Access and Delivery	Access Channels	Web Browser	Internet Explorer
Knowledge Capture	Service Access and Delivery	Access Channels	Web Browser	Internet Explorer
Tagging and Aggregation	Service Access and Delivery	Access Channels	Web Browser	Internet Explorer
Document Revisions	Service Access and Delivery	Access Channels	Web Browser	Internet Explorer
Alerts and Notifications	Service Access and Delivery	Delivery Channels	Internet	
Business Rule Management	Service Access and Delivery	Delivery Channels	Intranet	
Governance / Policy Management	Service Access and Delivery	Delivery Channels	Intranet	
Access Control	Service Access and Delivery	Service Requirements	Authentication / Single Sign-on	
Document Retirement	Service Access and Delivery	Service Requirements	Hosting	Internal (within Agency)
Information Retrieval	Service Access and Delivery	Service Requirements	Hosting	Internal (within Agency)
Business Rule Management	Service Access and Delivery	Service Requirements	Hosting	Internal (within Agency)
Change Management	Service Access and Delivery	Service Requirements	Hosting	Internal (within Agency)
Governance / Policy Management	Service Access and Delivery	Service Requirements	Hosting	Internal (within Agency)
Document Imaging and OCR	Service Access and Delivery	Service Requirements	Hosting	Internal (within Agency)
Knowledge Capture	Service Access and Delivery	Service Requirements	Hosting	Internal (within Agency)
Imagery	Service Access and Delivery	Service Requirements	Hosting	Internal (within Agency)
Tagging and Aggregation	Service Access and Delivery	Service Requirements	Hosting	Internal (within Agency)
Classification	Service Access and Delivery	Service Requirements	Hosting	Internal (within Agency)
Document Revisions	Service Access and Delivery	Service Requirements	Hosting	Internal (within Agency)
Document Classification	Service Access and Delivery	Service Requirements	Hosting	Internal (within Agency)
Loading and Archiving	Service Access and Delivery	Service Requirements	Hosting	Internal (within Agency)
Document Library	Service Access and Delivery	Service Requirements	Hosting	Internal (within Agency)
Data Recovery	Service Access and Delivery	Service Requirements	Hosting	Internal (within Agency)
Access Control	Service Access and Delivery	Service Requirements	Legislative / Compliance	Security
Identification and Authentication	Service Access and Delivery	Service Requirements	Legislative / Compliance	Security
Document Imaging and OCR	Service Access and Delivery	Service Transport	Service Transport	File Transfer Protocol (FTP)
Loading and Archiving	Service Access and Delivery	Service Transport	Service Transport	Internet Protocol (IP)
Legacy Integration	Service Access and Delivery	Service Transport	Service Transport	Internet Protocol (IP)

FEA SRM Component	FEA TRM Service Area	FEA TRM Service Category	FEA TRM Service Standard	Service Specification (i.e. vendor or product name)
	Delivery			
Change Management	Service Access and Delivery	Service Transport	Service Transport	Internet Protocol (IP)
Loading and Archiving	Service Access and Delivery	Service Transport	Service Transport	Transport Control Protocol (TCP)
Legacy Integration	Service Access and Delivery	Service Transport	Service Transport	Transport Control Protocol (TCP)
Change Management	Service Access and Delivery	Service Transport	Service Transport	Transport Control Protocol (TCP)
Document Imaging and OCR	Service Access and Delivery	Service Transport	Supporting Network Services	Multipurpose Internet Mail Extensions (MIME)
Document Imaging and OCR	Service Access and Delivery	Service Transport	Supporting Network Services	Simple Mail Transfer Protocol (SMTP)
Audit Trail Capture and Analysis	Service Interface and Integration	Integration	Middleware	CICS
Data Integration	Service Interface and Integration	Integration	Middleware	CICS
Access Control	Service Interface and Integration	Integration	Middleware	CICS
Identification and Authentication	Service Interface and Integration	Integration	Middleware	CICS
Business Rule Management	Service Interface and Integration	Integration	Middleware	Database Access: NET8
Change Management	Service Interface and Integration	Integration	Middleware	Database Access: NET8
Governance / Policy Management	Service Interface and Integration	Integration	Middleware	Database Access: NET8
Change Management	Service Interface and Integration	Integration	Middleware	Transaction Processing Monitor
Data Exchange	Service Interface and Integration	Interface	Service Description / Interface	Application Program Interface (API) / Protocol
Information Retrieval	Service Platform and Infrastructure	Database / Storage	Database	BDAM
Imagery	Service Platform and Infrastructure	Database / Storage	Database	Content Manager
Tagging and Aggregation	Service Platform and Infrastructure	Database / Storage	Database	Content Manager
Document Revisions	Service Platform and Infrastructure	Database / Storage	Database	Content Manager
Document Classification	Service Platform and Infrastructure	Database / Storage	Database	Content Manager
Document Retirement	Service Platform and Infrastructure	Database / Storage	Database	Database 2 (DB2)
Classification	Service Platform and Infrastructure	Database / Storage	Database	Database 2 (DB2)
Document Classification	Service Platform and Infrastructure	Database / Storage	Database	Database 2 (DB2)
Meta Data Management	Service Platform and Infrastructure	Database / Storage	Database	Database 2 (DB2)
Categorization	Service Platform and Infrastructure	Database / Storage	Database	Database 2 (DB2)
Data Integration	Service Platform and Infrastructure	Database / Storage	Database	Database 2 (DB2)
Loading and Archiving	Service Platform and Infrastructure	Database / Storage	Database	Database 2 (DB2)
Indexing	Service Platform and Infrastructure	Database / Storage	Database	Database 2 (DB2)
Library / Storage	Service Platform and Infrastructure	Database / Storage	Database	Database 2 (DB2)
Data Integration	Service Platform and Infrastructure	Database / Storage	Database	IDMS

FEA SRM Component	FEA TRM Service Area	FEA TRM Service Category	FEA TRM Service Standard	Service Specification (i.e. vendor or product name)
Business Rule Management	Service Platform and Infrastructure	Database / Storage	Database	Oracle
Change Management	Service Platform and Infrastructure	Database / Storage	Database	Oracle
Governance / Policy Management	Service Platform and Infrastructure	Database / Storage	Database	Oracle
Data Integration	Service Platform and Infrastructure	Database / Storage	Database	VSAM
Data Exchange	Service Platform and Infrastructure	Delivery Servers	Application Servers	
Business Rule Management	Service Platform and Infrastructure	Delivery Servers	Web Servers	Internet Information Server (IIS)
Change Management	Service Platform and Infrastructure	Hardware / Infrastructure	Embedded Technology Devices	Hard Disk Drive
Data Recovery	Service Platform and Infrastructure	Hardware / Infrastructure	Embedded Technology Devices	Redundant Array of Independent Disks (RAID)
Document Retirement	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	Direct Access Storage Device (DASD)
Information Retrieval	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	Direct Access Storage Device (DASD)
Business Rule Management	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	Direct Access Storage Device (DASD)
Change Management	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	Direct Access Storage Device (DASD)
Governance / Policy Management	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	Direct Access Storage Device (DASD)
Loading and Archiving	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	Direct Access Storage Device (DASD)
Classification	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	Direct Access Storage Device (DASD)
Document Classification	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	Direct Access Storage Device (DASD)
Document Revisions	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	Direct Access Storage Device (DASD)
Tagging and Aggregation	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	Direct Access Storage Device (DASD)
Imagery	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	Direct Access Storage Device (DASD)
Meta Data Management	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	Direct Access Storage Device (DASD)
Categorization	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	Direct Access Storage Device (DASD)
Indexing	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	Direct Access Storage Device (DASD)
Library / Storage	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	Direct Access Storage Device (DASD)
Document Library	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	Direct Access Storage Device (DASD)
Document Imaging and OCR	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	Scanner
Knowledge Capture	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Enterprise Server
Change Management	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Enterprise Server
Access Control	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Enterprise Server
Document Retirement	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Mainframe
Classification	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Mainframe
Data Integration	Service Platform	Hardware /	Servers / Computers	Mainframe

FEA SRM Component	FEA TRM Service Area	FEA TRM Service Category	FEA TRM Service Standard	Service Specification (i.e. vendor or product name)
	and Infrastructure	Infrastructure		
Legacy Integration	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Mainframe
Audit Trail Capture and Analysis	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Mainframe
Change Management	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Mainframe
Document Library	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Mainframe
Change Management	Service Platform and Infrastructure	Software Engineering	Software Configuration Management	Version Management
Business Rule Management	Service Platform and Infrastructure	Support Platforms	Platform Dependent	Windows .Net
Imagery	Service Platform and Infrastructure	Support Platforms	Platform Independent	Java 2 Platform Enterprise Edition (J2EE)
Tagging and Aggregation	Service Platform and Infrastructure	Support Platforms	Platform Independent	Java 2 Platform Enterprise Edition (J2EE)
Document Revisions	Service Platform and Infrastructure	Support Platforms	Platform Independent	Java 2 Platform Enterprise Edition (J2EE)
Document Classification	Service Platform and Infrastructure	Support Platforms	Platform Independent	Java 2 Platform Enterprise Edition (J2EE)
Legacy Integration	Service Platform and Infrastructure	Support Platforms	Platform Independent	Java 2 Platform Enterprise Edition (J2EE)
Access Control	Service Platform and Infrastructure	Support Platforms	Platform Independent	Java 2 Platform Enterprise Edition (J2EE)

Service Components identified in the previous question should be entered in this column. Please enter multiple rows for FEA SRM Components supported by multiple TRM Service Specifications

In the Service Specification field, Agencies should provide information on the specified technical standard or vendor product mapped to the FEA TRM Service Standard, including model or version numbers, as appropriate.

5. Will the application leverage existing components and/or applications across the Government (i.e., FirstGov, Pay.Gov, etc)?

No

a. If "yes," please describe.

6. Does this investment provide the public with access to a government automated information system?

Yes

a. If "yes," does customer access require specific software (e.g., a specific web browser version)?

No

1. If "yes," provide the specific product name(s) and version number(s) of the required software and the date when the public will be able to access this investment by any software (i.e. to ensure equitable and timely access of government information and services).

Exhibit 300: Part II: Planning, Acquisition and Performance Information

II.A. Alternatives Analysis

Part II should be completed only for investments identified as "Planning" or "Full Acquisition," or "Mixed Life-Cycle" investments in response to Question 6 in Part I, Section A above.

In selecting the best capital asset, you should identify and consider at least three viable alternatives, in addition to the current baseline, i.e., the status quo. Use OMB

Circular A- 94 for all investments, and the Clinger Cohen Act of 1996 for IT investments, to determine the criteria you should use in your Benefit/Cost Analysis.

1. Did you conduct an alternatives analysis for this project?

Yes

a. If "yes," provide the date the analysis was completed?

6/21/2006

b. If "no," what is the anticipated date this analysis will be completed?

c. If no analysis is planned, please briefly explain why:

2. Removed

3. Which alternative was selected by the Agency's Executive/Investment Committee and why was it chosen?

The alternative that was chosen was the most viable in terms of meeting the delivery dates mandated by the legislation. It was determined to be the alternative with the least risk and biggest potential for success because it carefully isolates new functionality while building on existing systems, and is the least costly alternative.

4. What specific qualitative benefits will be realized?

The implementation strategy provided several service channels for the public to apply for a Prescription Drug Benefit subsidy. The availability of the channels provide flexibility for the public and help to manage the work in the field offices. This has helped to minimized the impact on other critical workloads. Gathering information needed to make a subsidy decision through electronic data exchange has helped to streamline the process and also prevent the creation of a paper based process and all of the support needed to maintain it.

II.B. Risk Management

You should have performed a risk assessment during the early planning and initial concept phase of this investment's life-cycle, developed a risk-adjusted life-cycle cost estimate and a plan to eliminate, mitigate or manage risk, and be actively managing risk throughout the investment's life-cycle.

1. Does the investment have a Risk Management Plan?

Yes

a. If "yes," what is the date of the plan?

6/6/2006

b. Has the Risk Management Plan been significantly changed since last year's submission to OMB?

Yes

c. If "yes," describe any significant changes:

The Risk Management Plan was changed to include the risks and management strategy for risks associated with Part B Income Related Monthly Adjustment Amount.

2. If there currently is no plan, will a plan be developed?

a. If "yes," what is the planned completion date?

b. If "no," what is the strategy for managing the risks?

3. Briefly describe how investment risks are reflected in the life cycle cost estimate and investment schedule:

SSA's baselines are risk adjusted in terms of both life cycle schedule and resource estimates. Factors considered in determining baseline risk adjustments include: identification of known and types of unknown program and technology risks, the likelihood of occurrence, the impact in the event the risk occurs, and the mitigation strategy adopted to manage each risk. The intent of adopting this strategy is for the program to be able to absorb inevitable risk occurrences and still achieve end cost and schedule objectives. This practice (along with our risk management policies and procedures) has to date been a successful one at SSA. Small management reserves are held at the Deputy Commissioner level in the event required.

II.C. Cost and Schedule Performance

1. Does the earned value management system meet the criteria in ANSI/EIA Standard-748?

Yes

2. Answer the following questions about current cumulative cost and schedule performance. The numbers reported below should reflect current actual information. (Per OMB requirements Cost/Schedule Performance information should include both Government and Contractor Costs):

a. What is the Planned Value (PV)?

57.469000

b. What is the Earned Value (EV)?

55.248000

c. What is the actual cost of work performed (AC)?

57.919000

d. What costs are included in the reported Cost/Schedule Performance information (Government Only/Contractor Only/Both)?

Contractor and Government

e. "As of" date:

9/30/2006

3. What is the calculated Schedule Performance Index (SPI = EV/PV)?

0.960000

4. What is the schedule variance (SV = EV-PV)?

-2.221000

5. What is the calculated Cost Performance Index (CPI = EV/AC)?

0.950000

6. What is the cost variance (CV=EV-AC)?

-2.671000

7. Is the CV% or SV% greater than +/- 10%? (CV% = CV/EV x 100; SV% = SV/PV x 100)

No

a. If "yes," was it the?

b. If "yes," explain the variance:

c. If "yes," what corrective actions are being taken?

8. Have any significant changes been made to the baseline during the past fiscal year?

No